



INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NUMBER YPL-0082 SERIAL NUMBER 10/783,127 FILED 2-19-2004
FIRST INVENTOR: Kwang-wook Oh TITLE POLYMERASE CHAIN REACTION DEVICE
AND METHOD OF REGULATING OPENING AND CLOSING OF INLET AND OUTLET
OF THE POLYMERASE... EXAMINER NYA ART UNIT NYA

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application _____ filed _____ and entitled _____.
The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☐ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;
☐ A concise explanation is (check at least one box below):
☐ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☐ provided herewith.

37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☒ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION

5. ☐ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.

37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):
 - a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).
 - b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

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|-----------|-------------------|---------------------|-----------------------|
| Name: | <u>Soonja Bae</u> | Registration Number | <u>SEE ATTACHED</u> |
| Signature | | Date | <u>April 13, 2004</u> |

CERTIFICATE OF MAILING OR TRANSMISSION: I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or [] facsimile transmitted to the U.S. Patent and Trademark Office to Facsimile No. _____ on the date shown below.

| | | | |
|-----------|------------------------|------|-----------------------|
| Name | <u>Tammie Lanthier</u> | Date | <u>April 13, 2004</u> |
| Signature | | | |



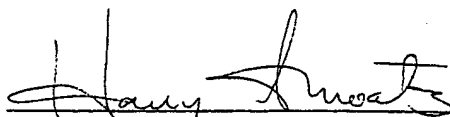
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE
UNITED STATE PATENT AND TRADEMARK OFFICE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Soonja Bae is hereby given limited recognition under 37 CFR § 10.9(b) as an employee of Cantor Colburn LLP to prepare and prosecute patent applications wherein the patent applicant is the client of Cantor Colburn LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of Cantor Colburn LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Soonja Bae ceases to lawfully reside in the United States, (ii) Soonja Bae's employment with Cantor Colburn LLP ceases or is terminated, or (iii) Soonja Bae ceases to remain or reside in the United States on an H-1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: August 4, 2004



Harry I. Moatz
Director of Enrollment and Discipline

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| INFORMATION DISCLOSURE CITATION (Use several sheets if necessary) | | Docket Number (Optional) YPL-0082 | Application Number 10/783,127 |
| Applicant(s) Kwang-wook Oh, et al. | | | |
| Filing Date 2-19-2004 | | Group Art Unit NYA | |

U.S. PATENT DOCUMENTS

| EXAMINER | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------|-----------------|-----------|-----------------|-------|----------|-------------------------------|
| | 6,156,389 | 12-5-2000 | Brown, et al. | 427 | 393.4 | 12-28-1998 |
| | 6,261,431 B1 | 7-17-2001 | Mathies, et al. | 204 | 601 | 12-28-1998 |
| | 6,475,722 B1 | 11-5-2002 | Henck | 435 | 6 | 11-16-1998 |
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FOREIGN PATENT DOCUMENTS

| REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
|-----|-----------------|------|---------|-------|----------|-------------|----|
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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| | | "Chip PCR. I. Surface passivation of microfabricated silicon-glass chips for PCR"; Authors: Mann A. Shoffner, Jing Cheng, Georgi E. Hvichia, Larry J. Kricka and Peter Wilding; Nucleic Acids Research, Vol. 24, No. 2; Oxford University Press; 1996; Pgs. 375-379 |
| | | "Miniaturized flow-through PCR with different template types in a silicon chip thermocycler"; Authors: Ivonne SchneegaB, Reiner Brautigamb and Johann Michael Kohler; LAB ON A CHIP, Vol. 1; The Royal Society of Chemistry; 2001; Pgs. 42-49 |

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|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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|--|--|--|--|---|--|
| INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i> | | Docket Number (Optional) YPL-0082 | | Application Number 10/783,127 | |
| | | Applicant(s) Kwang-wook Oh, et al. | | | |
| | | Filing Date 2-19-2004 | | Group Art Unit NYA | |
| *EXAMINER INITIAL | | OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i> | | | |
| | | "Microfluidic tectonics: A comprehensive construction platform for microfluidic systems"; Authors: David J. Beebe, Jeffrey S. Moore, Qing Yu, Robin H. Liu, Mary L. Kraft, Byung-Ho Jo and Chelladurai Devadoss; PNAS, Vol. 97, No. 25; December 5, 2000; Pgs. 13488-13493 | | | |
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